

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Ralph A. Chappa, et al.

Application No./Patent No.: 10/028,518 Filed/Issue Date: December 21, 2001

Entitled: REAGENT AND METHOD FOR PROVIDING COATINGS ON SURFACES

SurModics, Inc., a Corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest  
(The extent (by percentage) of its ownership interest is \_\_\_\_\_ %)

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 012423, Frame 0072, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as follows:


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2. From: \_\_\_\_\_ To: \_\_\_\_\_  
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ As required by 37 CFR 3.73(b)(1)(i), the documentary evidence of the chain of title from the original owner to the assignee was, or concurrently is being, submitted for recordation pursuant to 37 CFR 3.11.

(NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, to record the assignment in the records of the USPTO. See MPEP 302.08)

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

 \_\_\_\_\_  
Signature

Jeannine Joan Thiele  
Printed or Typed Name

December 10, 2007

Date

952.345.3549

Telephone Number

Patent Counsel  
Title

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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FEBRUARY 27, 2002

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MINNEAPOLIS, MN 55402



\*101937282A\*

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 12/21/2001

REEL/FRAME: 012423/0072  
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

CHAPPA, RALPH A.

DOC DATE: 12/13/2001

ASSIGNOR:

STUCKE, SEAN M.

DOC DATE: 12/13/2001

ASSIGNOR:

AMOS, RICHARD A.

DOC DATE: 12/19/2001

ASSIGNOR:

EVERSON, TERRENCE P.

DOC DATE: 12/21/2001

ASSIGNOR:

CHUDZIK, STEPHEN J.

DOC DATE: 12/14/2001

ASSIGNOR:

SWAN, DALE G.

DOC DATE: 12/13/2001

ASSIGNOR:

DUQUETTE, PETER H.

DOC DATE: 12/13/2001

DOCKETED IN NOTES/atg

3-8-02

ASSIGNMENT

We, Ralph A. Chappa, Sean M. Stucke, Richard A. Amos, Terrence P. Everson, Stephen J. Chudzik, Dale G. Swan, and Peter H. Duquette, citizens of the United States residing at 6260 Suel Lane, Prior Lake, Minnesota 55372, 16975 Fieldcrest Avenue, Farmington, MN 55024, 3437 Skycroft Circle, St. Anthony, Minnesota 55418, 560 Country Court, Eagan, Minnesota 55123, 11 Heather Place, St. Paul, Minnesota 55102, 1856 Parker Road, St. Louis Park, Minnesota 55426, and 6813 Paiute Drive, Edina, Minnesota 55439, respectively, have made an invention relating to REAGENT AND METHOD FOR PROVIDING COATINGS ON SURFACES, and have today executed an application for United States Letters Patent based thereon and identified by attorney's File No. 9896.149.0 and naming the following inventors: Ralph A. Chappa, Sean M. Stucke, Richard A. Amos, Terrence P. Everson, Stephen J. Chudzik, Dale G. Swan, and Peter H. Duquette, Application No. \_\_\_\_\_, filed \_\_\_\_\_. We hereby authorize and request our attorney, Philip M. Goldman, Fredrikson & Byron, P.A., of 1100 International Centre, 900 Second Avenue South, Minneapolis, Minnesota 55402, to insert the filing date and application number of said application when known.

In exchange for good and valuable consideration, the receipt of which we now acknowledge, we hereby assign to SurModics, Inc., a Minnesota corporation having its principal place of business at 9924 West 74th Street, Eden Prairie, Minnesota 55344-3523, its successors and assigns:

- (1) The entire right, title and interest to the above-identified invention and application;
- (2) The entire right, title and interest to any United States or foreign Letters Patents which may issue with respect to the above-identified invention;
- (3) The entire right, title and interest to any renewals, reissues, extensions, substitutions, continuations, continuations-in-part, or divisions that may be filed with respect to the above-identified invention and application; and
- (4) The right to apply for Letters Patents in foreign countries in its own name and to claim any priority rights to which such foreign applications are entitled under international conventions, treaties or otherwise.

We further agree for ourselves and for our heirs, executors and administrators, to execute and deliver without further consideration any further applications, assignments or other documents and to perform such other lawful acts as SurModics, Inc., its successors and assigns may deem necessary to fully secure its rights, title or interest as outlined herein.

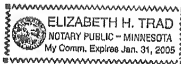
We hereby authorize and request the Commissioner of Patents and Trademarks to issue to SurModics, Inc., any Letters Patents which may be granted in accordance with this Assignment.

Dated this 13 day of Dec, 2001.

Ralph A. Chappa  
Ralph A. Chappa

Subscribed and sworn to before me  
this 13 day of December, 2001.

Elizabeth H. Trad  
Notary Public



Dated this 13 day of Dec, 2001.

Sean M. Stucke  
Sean M. Stucke

Subscribed and sworn to before me  
this 13 day of December, 2001.

Elizabeth H. Trad  
Notary Public



Dated this 19<sup>th</sup> day of Dec, 2001.

Richard A. Amos  
Richard A. Amos

Subscribed and sworn to before me  
this 19 day of December, 2001.

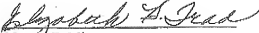
Elizabeth H. Trad  
Notary Public



Dated this 21 day of December, 2001.


  
Terrence P. Everson

Subscribed and sworn to before me  
this 21 day of December, 2001.


  
Notary Public



Dated this 14 day of December, 2001.


  
Stephen J. Chudzik

Subscribed and sworn to before me  
this 14 day of December, 2001.


  
Notary Public



Dated this 13 day of Dec, 2001.

  
Dale G. Swan

Subscribed and sworn to before me  
this 13 day of December, 2001.

  
Notary Public



Dated this 13<sup>th</sup> day of December, 2001.

Peter H. Duquette  
Peter H. Duquette

Subscribed and sworn to before me  
this 13 day of December, 2001.

Elizabeth H. Trad  
Notary Public



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ASSIGNEE:

SURMODICS, INC.  
9924 WEST 74TH ST.  
EDEN PRAIRIE, MINNESOTA 55344

SERIAL NUMBER: 10028518  
PATENT NUMBER: /

FILING DATE:  
ISSUE DATE:

MARCUS KIRK, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

01-09-2002



To the Honorable Commissioner of Patents and Trademarks

or copy thereof.

1. Name of conveying party(ies):

101937282

Address of receiving party(ies):

Ralph A. Chappa, Sean M. Stucke, Richard A. Amos, Terrence P. Everson, Stephen J. Chudzik, Dale G. Swan, and Peter H. Duquette

Name: SurModics, Inc.

Internal Address:

Street Address: 9924 West 74th St.

City: Eden Prairie State: Minnesota

ZIP: 55344

Additional name(s) & address(es) attached? ☐ Yes ☒ No

Additional name(s) of conveying party(ies) attached ☐ Yes ☒ No

12/21/01

3. Nature of Conveyance:

☒ Assignment  
☐ Security Agreement  
☐ Other

☐ Merger  
☐ Change of Name

Execution Date: 13 December 2001

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: 21 December 2001

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Fredrikson & Byron, P.A.

Internal Address: 1100 International Centre

Street Address: 900 Second Avenue South

City: Minneapolis State: Minnesota ZIP: 55402

6. Total number of applications and patents involved: ☐ 1

7. Total fee (37 CFR 3.41): ..... \$40.00

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☐ Authorized to be charged to deposit account

8. Deposit account number:

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original documents.

Philip M. Goldman

Name of Person Signaling

Signature

21 DEC 2001

Date

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